

September 6, 2006

TO: DOE Nuclear Physics Grantees

FROM: Dennis Kovar/Associate Director of the Office of Nuclear Physics

SUBJECT: Electronic Submission of Proposals and Continuation Progress Reports

The Office of Nuclear Physics has for some time now accepted only electronic submission of most documents relating to existing awards and of applications for new awards. The required method of submission and timing of a submission is different for each type of submission. It is the purpose of this annual guidance letter to attempt to clarify these differences and to make explicit our expectations and length restrictions for each of these submitted documents.

We begin with a set of definitions of the words used in this document. An award is normally made for three years, with budget periods of twelve months. Initial funding is for the first budget period and the awards for next two budget periods are called “continuation awards”. Before the end of the total award period a “renewal” application may be submitted for this existing award. At any time during the award period, a “supplementary” application can be submitted for a supplement to the existing award. Of course, a “new” application is one for an award which does not exist at the time of the application. (Often applications are called “proposals”)

A) Continuation Progress Reports on an existing award

After issuance of an initial award and if future multi-year support is recommended, recipients must submit a satisfactory progress report in order to receive continuation awards for the remainder of the project period. Continuation progress reports should be sent directly by email to your Program Officer and not through a website. They are due 90 days before the anticipated continuation funding date. Our guidelines for the preparation of a continuation progress report are given in an attachment to this letter.

B) Applications for Financial Support

Instructions are provided on the Office of Science Grants and Contracts website <http://www.sc.doe.gov/grants/> on how your institution should electronically submit proposals to a website. All grant proposals must be submitted in response to a solicitation notice (also called a Funding Opportunity Announcement). Renewal proposals should be submitted six months prior to the termination date of the existing grant. Supplemental proposals can be submitted at any time. **ALL NEW PROPOSALS MUST BE SUBMITTED BY NOVEMBER 1 OF THE FISCAL YEAR FOR WHICH FUNDING IS REQUESTED, to receive consideration for funding in that fiscal year.** Our guidelines for the preparation of a proposal are given in an attachment to this letter.

One can see a listing of the SC solicitation notices by clicking on “Grant Solicitation Notices” in the box on the left on the SC Grants and Contracts webpage. Two solicitations will cover most of the funding opportunities always available for Nuclear Physics. Renewal and supplemental proposals should respond to the ongoing solicitation Notice DE-FG01-06ER06-02. (Note that the identification number of this notice changes every fiscal year; after October 1, 2006 these proposals should respond to the replacement Notice DE-FG01-06ER07-02). New proposals in nuclear physics should respond to Notice DE-PS02-06ER06-23, the one with the November 1 deadline. For other solicitations concerning special programs such as the Outstanding Junior Investigator program, Rare Isotope Beam Capabilities, etc. please consult the web pages already mentioned. If you click on a particular solicitation title and identification number (you should write down this number because you will use it later), you will see the solicitation itself. In the upper left corner of the solicitation webpage there is information and a link to the web portal to which an authorized institutional administrative official must submit applications.

The detailed instructions and requirements for submitting an application can be found starting with the web portal <http://e-center.doe.gov>. The following instructions should help you find them from the home page of this portal. To begin your search, click on the tab “Browse Opportunities” in the upper left corner. Then click on “Browse Financial Asst” and find about a one page list of solicitations. If you want, for example, instructions for new proposals then find and click on DE-PS02-06ER06-23. Near the very bottom of the resulting page (under a horizontal blue bar titled “Full Announcement and other files” you can click on FOA Notice 6-23.pdf. That 24 page pdf file does contain the full announcement with detailed instructions.

Attachment 1

Continuation Progress Reports

After issuance of an initial award and if future multi-year support is recommended, recipients must submit a satisfactory progress report in order to receive continuation awards for the remainder of the project period. The required report must be submitted as an electronic MS-Word (preferably) or PDF file directly to the Office of Science Program manager 90 days prior to the anticipated continuation funding date (do not submit progress reports through the web based system for electronic submission of proposals and supplements).

The cover page should contain the following information:

- Federal Agency and Organization Element to Which Report is Submitted
- DOE Award number
- Project Title
- Additional Personnel
- Name of Submitter (PI)
- Recipient Organization (Name and Address)
- Recipient Identifying Number or Account Number, if any
- Project/Grant Period (Start Date, End Date)
- Reporting Period End Date
- Report Term or Frequency (Annual, quarterly, semi-annual, other)

Your report should be concise in describing your accomplishments; no more than a few pages per senior investigator (academic and research faculty, senior research scientists, etc., not including postdoctoral associates), but not greater than 20 pages, excluding important figures, publication and conference lists etc. It should address the following topics under the reporting categories:

Accomplishments:

- What were the major goals and objectives of your research activity?
- What was accomplished toward these goals, including those articulated in the research proposal? (Major highlights in the previous budget period). Identify individual contributions, including service work at DOE facilities, if applicable.
- What opportunities for training and development has the project provided? The graduate student template below should be included.
- How have the results been disseminated to communities of interest? Usually a list of publications, conference proceedings and invited talks for the reporting budget period is sufficient.

Additional Information:

- Have there been changes in the approach to these goals. If so, why?
- Discuss actual or anticipated problems or delays and briefly describe actions or plans to resolve them.
- Indicate any changes that have a significant impact on the execution of the approved budget for the project period.
- Briefly describe your plans for the next budget period.

Impact:

- What is the impact of the project on the development of the scientific field and upon advancement of DOE goals?

Participants:

- Which individuals have worked on the project? Indicate current personnel and changes in personnel during the past year.

In addition, the Office of Nuclear Physics requires an estimate of the amount of unexpended funds, if any, that are anticipated to be left at the end of the current budget period. If the amount exceeds 10 percent of the funds available for the budget period, provide information as to why the excess funds are anticipated to be available and how they will be used in the next budget period. A completed budget page for the continuation year must be submitted with the continuation report.

Student Tracking Information

The Office of Nuclear Physics needs to keep track of graduate students supported on research grants. Please provide, in tabular form, the following information for each graduate student receiving support from this grant, during the reporting period:

- Name of the student
- Date when the student entered graduate school at the host institution
- Date on which the student joined the research group
- Student mentor
- Date when the student graduated, or is expected to graduate, as well as the degree granted or expected.

Example of Graduate Student template:

Name of Student	Entered Graduate School	Joined Group	Mentor	Graduated/ Expected
John Doe	Aug. 2003	Fall 2004	Prof. Jane Smith	MS, Summer 2007

Attachment 2

Office of Nuclear Physics Requirements for Preparation of New Proposals, Renewals, and Supplemental Requests.

1. Project Introduction (2 pages maximum)

The Project Introduction should provide:

- An abstract should summarize the planned scope of work in 100 words or less, written at a level for which a scientist outside the field would understand. This abstract will be used in an electronic compilation of work performed by DOE grantees for reference.
- A concise summary of accomplishments from the preceding grant period for renewals (typically three years).
- A short summary of work to be accomplished. This discussion should include objectives, a description of the basic approach, and the potential impact.
- A list of personnel.

2. Project Description, including results from prior DOE Support (subject to page limits)

The Project Description must be no more than 15 pages in total, with an additional five pages allowed for each additional senior researcher on the proposal. The authors of the application can organize the Project Description text at their discretion, subject to the requirements below.

In the case of Renewal Grants, the Project Description must include a concise description of accomplishments and work in progress. This should be no longer than one third of the total Project Description.

The rest of the Project Description should provide a more detailed discussion than that of the Project Introduction of the work to be undertaken and should include a discussion of the objectives in relation to:

- Long-term goals, particularly in relationship to the NSAC Long Range Plan and Performance Measures for Nuclear Physics.
- Present state of knowledge of the field.
- Any other work by the PI not supported by this grant.
- A general plan of work of the activities to be undertaken over the grant period (typically 3 years) and an adequate description of methodology and necessary resources to convince a reviewer of its feasibility.
- Necessary information that explicitly justifies the requested resources (manpower, equipment, travel, etc.).
- Institutional support and resources.

- A brief discussion of how the work will contribute to the education of students, if applicable, and identify any potential benefits to society. Include career history of recent research associates and graduate students.

Please refer to Attachment 4 for margin, spacing and font requirements.

3. References (no page limit):

All work referenced in section 2 must be included in this section. Citations should follow the APS style guide.

4. Publications (no page limit):

Publications deriving from the research and development of the project during the previous project or budget period should be listed in this section, including papers in refereed journals, invited and contributed papers at major conferences, symposia, and workshops, books or chapters of books, and other appropriate forms of reporting. Publications should include the titles, but otherwise should follow the APS style guide.

5. A list of principal collaborators from the last four years (2 pages maximum):

This information will help the Program Manager to avoid conflicts of interest in choosing reviewers for the proposal.

6. Biographical Sketches (subject to page limit discussed below)

Each biographical sketch should provide:

- Applicant's name and position title and organization.
- Applicant's degrees, years and field of study for each academic degree
- A listing of research and professional positions, awards, and honors.
- References to all publications for the past three years along with any earlier publications pertinent to this application.

If this list causes any biographical sketch to exceed two pages, the applicant must select the most pertinent publications to stay within the page limit.

7. Student Tracking Information

The Office of Nuclear Physics needs to keep track of graduate students supported on research grants. Please provide, in tabular form, the following information for each graduate student receiving (in the case of a renewal proposal), or expected to receive (in the case of a new proposal) any support from this grant, during this funding period:

- Name of the student
- Date when the student entered graduate school at the host institution

- Date on which the student joined the research group
- Date when the student graduated, or is expected to graduate.

See Attachment 1 for an example of a graduate student information table.

8. Discussion of the Budget:

Each major item on each DOE budget sheet (form F 4620) should be justified on continuation pages following the budget sheets. In particular, any permanent equipment costs, travel costs, or other direct costs must be explained. For Materials and Supplies, the budget should indicate the general types of expendable materials and supplies required with their estimated costs. The breakdown should be more detailed when the cost is substantial.

Please make the total budget for each year sum to exact thousands of dollars.

Current and pending support of the Principal Investigators should include all current funding and proposals that have been submitted.

For grant renewal applications, a discussion of anticipated carryover from the end of the present grant period is necessary.

9. Additional Material

No additional material will be accepted with the proposal. Authors of proposals may provide supplementary information by referring to uniform resource locators (URLs) in their proposals. However, reviewers are under no obligation to examine such supplementary information.

10. List of Suggested Reviewers or Reviewers Not to Include (optional)

Proposers may provide a list of suggested reviewers who they believe are especially well qualified to review the proposal. Proposers also may designate persons they would prefer not review the proposal, indicating why. These suggestions are optional, but should not accompany the proposal. Proposers who wish to use this option must provide the information via direct communication (such as email) with the cognizant Program Manager. The Program Manager handling the proposal will consider the suggestions and may contact the proposer for further information. However, the decision whether or not to use the suggestions remains with the Program Manager.

See the Office of Science web Home Page for Grants and Contracts

<http://www.sc.doe.gov/grants/grants.html> and

<http://www.science.doe.gov/grants/AppCont.html> for further details